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NAVAL POSTGRADUATE SCHOOL

Monterey, California



DESIGN OF AN OPERATIONAL

MANAGEMENT BY OBJECTIVES MANUAL

Gerald L. Musgrave, Richard S. Elster,
John W. Creighton, and William H. Githens

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Rear Admiral Isham Linder
Superintendent

Jack R. Borsting
Provost

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| 20. ABSTRACT (Continue on reverse side if necessary and identify by block number) This report describes a method to implement management by objectives in a naval shore installation. The manual includes a brief explanation of the concept of MBO; why managers need and use MBO, how to locate important objectives, how one sets goals, how progress toward goals is controlled and how reporting is done under a MBO system. The report contains a comprehensive reivew of the literature. | | |

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INTRODUCTION

This report is one of six Naval Postgraduate School technical reports documenting and describing a research project titled, "Design of an Operational Personnel Development and Evaluation System," sponsored by the Naval Material Command. The following is a listing of these six reports:

1. NPS-55Gh73061
DESIGN OF AN OPERATIONAL PERSONNEL
DEVELOPMENT AND EVALUATION SYSTEM
by: William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.
- 0 2. NPS-55Ea73061
DESIGN OF OPERATIONAL CAREER LADDERS
by: Richard S. Elster, Robert R. Read,
William H. Githens, Gerald L. Musgrave,
and John W. Creighton.
- 2 3. NPS-55Gh73062
DESIGN OF AN OPERATIONAL MANAGEMENT
DEVELOPMENT MANUAL
by: William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.
- 2 4. NPS-55Gh73063
DESIGN OF AN OPERATIONAL RATING MANUAL
by: William H. Githens, Richard S. Elster,
Gerald L. Musgrave, and John W. Creighton.
5. NPS- 55Mf73061
DESIGN OF AN OPERATIONAL MANAGEMENT BY
OBJECTIVES MANUAL
by: Gerald L. Musgrave, Richard S. Elster,
John W. Creighton, and William H. Githens.
- 2 6. NPS-55Re73061
STATISTICAL ANALYSIS OF PERSONNEL DATA USING
FACTOR SCORING, CLUSTER ANALYSIS, AND MULTI-
DIMENSIONAL SCALING
by: Robert R. Read, Richard S. Elster,
Gerald L. Musgrave, John W. Creighton,
and William H. Githens.

An executive summary of the entire project follows, and any additional information about the project can be obtained from the Project's Principal Investigator, Dr. Gerald L. Musgrave, Department of Operations Research and Administrative Sciences, Naval Postgraduate School, Monterey, California 93940.

EXECUTIVE SUMMARY
OF
THE PERSONNEL DEVELOPMENT AND EVALUATION SYSTEM

INTRODUCTION

The purpose of this research project was to develop and implement a management system to more effectively utilize civilian professionals. Two "test bed" activities were selected--Naval Supply Center and Naval Regional Finance Center, both in San Diego, California. The project has four parts:

1. Establishing a Group Appraisal System.
2. Developing a Goal Setting System.
3. Constructing Performance Rating Scales.
4. Developing Career Ladders.

GROUP APPRAISAL

The management development program involved civilian professionals at the two commands in group performance appraisal sessions. A professional's work performance was usually appraised by his supervisor and by the supervisor's superior. This group would meet with a member of the research team. The appraisals conducted by these groups were focused on, and limited to, intra-appraisee considerations. That is, the appraisal committee considered the individual in terms of his greatest strengths and his least strong work performances, but did not compare the appraisee with other individuals. Recommendations for the appraisee, for the appraisee's supervisor, and for the organization were then made so that this appraisee (a "human asset") could grow in worth to himself and to the organization.

A summary of the appraisal committee's thinking was then written by the research team member who had attended the committee's meeting and given to the appraisee's supervisor for his review. The supervisor then discussed the appraisal with the appraisee, stating that this is "how others see and interpret you," and that "here are our thoughts on how you might further develop and utilize your talents."

The responses to the appraisal program were varied. A number of appraisees stated informally that they felt their appraisal session with their supervisor had been one of the most meaningful experiences they had while in the Civil Service. Many supervisors, however, experienced their first exposure to a face-to-face dialogue with one of their subordinates and found the feedback session to be somewhat traumatic. The development of supervisory skills in these feedback behaviors appears to be a crucial requirement if face-to-face dialogues between supervisors and subordinates are to become common and meaningful.

GOAL SETTING

Another part of the project was to establish a framework to foster and facilitate a "result oriented" management system. Our experience was that effective goals could be established and that while it took time to develop goals, the act of setting goals was beneficial to the organization.

Goal setting was new to managers and they were resistant to formalizing goals. Some of the resistance seemed to be attributable to unfamiliarity with the concept of producing results, as compared to being engaged in activities. Another resistive force seemed to be the fear that goal setting would be used for punitive managerial actions.

We believe that after more experience is gained in goal setting and when employees' fears of consequential management action are found to be unwarranted, a greater acceptance of the program will result.

Our research at the Naval Postgraduate School and the San Diego Centers leads to the development of a new Goals and Controls System. This system includes a Work Performance Folder and a Goal Setting Manual that is to be used in conjunction with the folder. The system can be used to formulate goals, monitor and control performance, and to appraise work performance at the end of the year.

PERFORMANCE RATING SCALES

Section IV of this report presents the rating scales which were developed for professional occupations in Supply and Finance.

ANCILLARY STUDIES

The project report includes a number of sections which are indirectly related to the central issues of performance appraisal, goal setting, scale construction and career ladders. These related sections include analyses of questionnaires administered to individuals at the Centers, bibliographic resource materials, and a number of related ancillary studies. These studies are related to human asset accounting, goal setting, auditing, and statistical analyses of organizational climate and attitudinal data from the Centers.

BACKGROUND

During Fiscal Year 1972, the Navy Material Command financed investigations by Naval Postgraduate School (NPS) faculty as part of their exploratory research directed at developing methods and means for improving organizational effectiveness. In the course of various dialogues concerning NAVMAT operations, topics related to the age and replacement of professional civilian personnel were discussed. These discussions then turned to the issues of performance evaluation and management by objectives. The Office of Civilian Manpower Management (OCMM) became interested in these problems, and the NPS was requested by NAVMAT and OCMM personnel to submit a proposal for implementing some relevant managerial programs during FY 73. NPS responded with the proposal included as Appendix 1.

The proposal involved the following main objectives:

1. Developing for each civilian professional specific ways in which he can improve his knowledge, skills, attitudes, or behaviors to make him a more valuable human asset for the Navy.
2. Develop for each civilian professional a list of specific ways in which management can better utilize his talent.
3. Advise each civilian professional of what his boss wants him to accomplish during the coming year, and the evidence that will be used to judge such accomplishment.
4. Generate for each professional position the best performance rating scales allowed by current technology.
5. Generate "career ladders" for civilian professional jobs that relate field jobs to jobs in Washington, D.C. These "ladders" were to be based on the similarities and differences between and among jobs.

The on-site locations for this "demonstration" project were the Naval Supply Center, San Diego, and the Navy Regional Finance Center, San Diego. The main administrative offices for both organizations are located in the same building and both organizations are served by the same personnel department. Tables of organization for these two organizations, which show only the professional civilian billets and the hierarchy above them, are presented in Appendix 2. These two organizations were chosen because: (1) they are located in the same building, (2) this choice would allow one of the principal investigators to be on-site full-time, (3) they were within reasonable commuting distance from the Naval Postgraduate School in Monterey, and (4) both were considered by NAVMAT and NAVCOMPT personnel to be relatively healthy and efficient organizations.

A combination of "Management by Objectives" and "Group Appraisal" was used in accomplishing the first three of the five above objectives. Working from the higher toward the lower positions in the organizational hierarchy,

each supervisor called a committee meeting with his supervisor and several other employees who would have been in a position to observe the work performance of the appraisee. Following a brief discussion of the "strongest" and "least strong" aspects (intra-individual) of the appraisee's performance, the committee developed a list of recommendations in keeping with the first two of the aforementioned objectives. (Each of these discussions focused only on intra-individual differences.) Following this group meeting, the supervisor conducted a counseling session with the appraisee during which the opinions and recommendations of the committee were discussed. With this as a background, the supervisor and appraisee then worked out a list of specific goals for personal development to be accomplished during the coming year. In addition, based on the requirements and expectations of work accomplishment for the coming year as worked out by the supervisor and his boss, the supervisor and the appraisee (subordinate) worked out a list of goals for organizational accomplishment (objective #3) applying to the appraisee. Thirty of the 85 professional employees at NSC and all 25 of the professional employees at NRFC were covered by this program. Part II of this report deals with the developmental activities involved in objectives 1 and 2, while Part III of this report is concerned with the MBO portion (objective #3) of the project.

Generation of the best performance rating scales for each professional job (objective #4) involved the following scale construction steps:

1. A group of employees (3 to 6) familiar with the job listed the most relevant aspects of performance for the specific job.
2. The group then generated "specific" behavioral examples they had observed that demonstrated high and low performance on each performance aspect.
3. At a later time, these behavioral incidents were presented to the individuals in the group, who assigned them to the rating scale (aspect) and rating scale level (low to high on a 5-point scale) that they thought appropriate.
4. Incidents that were not by consensus assigned to the same location (both rating scale and level) were eliminated.

This procedure yielded rating scales that are relevant to the job being rated and that are "anchored" by specific behavioral incidents representing on the scales the various levels of job performance.

Rating scales were constructed for 6 of the 27 civilian professional jobs at NSC and for 3 of the 7 jobs at NRFC. General "supervisory" scales were constructed covering 11 of the 21 remaining jobs at NSC and all 4 of the remaining professional jobs at NRFC. Part IV of this report and Technical Report NPS55Gh73063 present the scale construction work conducted during the research project.

In support of objective #5, a task inventory asking employees to list the degree to which they were involved in various activities was administered

to 85 civilian professionals at NSC and 26 civilian professionals at NRFC. The same inventory was completed by civilian professionals in NAVSUP and NAVCOMPT in Washington, D.C. The data from the responses to this inventory formed the basis for the investigation of career paths, which was objective #5 of this project. The research done on career paths is described in Technical Report NPS55Ea73062.

Another technical report in this series, NPS55Rr73061, contains ancillary studies conducted during the term of this project. These studies included one using multidimensional scaling in examining how supervisors differentiate among their subordinates, and another effort which involved developing a comprehensive bibliography of the Management by Objectives literature.

DESIGN OF AN OPERATIONAL MANAGEMENT BY OBJECTIVES MANUAL

INTRODUCTION

In our research at NRFC and NSC San Diego we discovered that most managers needed help in establishing their management by objectives program. A number of managers inquired about additional information about MBO. This manual could provide a point of departure for a manager or an organization that intends to implement a results-oriented management system. In addition two bibliographies were prepared. The first one is used by management students at the Naval Postgraduate School. The second one is comprehensive and includes most of the important work written about MBO.

We also developed a work performance folder. We believe a folder like the one we developed will aid the manager in administering his MBO plan.

An organization could reproduce the material in this manual directly. However, we think every organization needs to tailor make its own program to achieve its own special objectives. This manual should be adjusted or rewritten to include specific examples that will demonstrate the applicability of this material.

I. PURPOSE AND SCOPE OF THIS MANUAL

This manual is intended to help the manager understand the basic ideas of the Personnel Development and Evaluation method. As you read this manual, you should have the Personnel Development Work Performance Folder available and refer to it as needed. The areas that are covered are:

- A. The concept of management by results
- B. Why an organization needs a formal set of goals
- C. How a manager identifies the most critical and appropriate goals
- D. How supervisors set goals
- E. How the manager controls progress toward goals

The manual is not intended to be a book on how to be a manager. It is assumed that everyone using the manual and Work Performance Folder is already an experienced manager. What is expected is that the existing skills of the manager will be directed toward the achievement of organizational goals and development of the human assets of the organization.

When a results oriented program is first introduced in an organization a number of questions arise. Typical questions and appropriate responses are included as Appendix I of the manual. A bibliography of books and articles is included as Appendix II for the manager who wants to extend his knowledge about results oriented management. Appendix III is an example of a completed Work Performance Folder.

II. THE CONCEPT OF MANAGEMENT BY RESULTS

What is meant by a "results oriented program?"

Managing by results, by objectives, "Goals and Controls", and "Results oriented management" all have as a common element the idea of getting work done in those areas Management considers important and taking action to meet the goals and satisfactions of individuals. As one manager said, "it is a combining of individual plans and needs toward a large scale accomplishment within a specific period of time."

Most managers feel they are results oriented but when their actions or the actions of their subordinates are analyzed an interesting fact comes out. Most managers are not as results oriented as they thought, and they do not successfully combine human resources to reach common organizational goals. Since most managers feel they are and want to be results oriented, how do we make a truly results oriented organization?

The Personnel Development and Evaluation Program

The Personnel Development and Evaluation Program is a formalized, step by step system. When not formalized a program only gets lip service and turns out to be ineffective. From the chief executive official of the organization, through first line management, to the work force level, each individual must become results oriented. In this system each manager should have a copy of his Work Performance Folder and one for every individual he directly supervises. This Work Folder will become a basic management tool. The performance appraisal section of the folder will

be used at the end of the year, and can be helpful in completing the necessary personnel and Civil Service Reports. This program is not however, administered by the Personnel Department and the Work Folder as a whole is definitely not a report for the Personnel Department!

Any results oriented program must have these four basic ingredients:

1. Management support
2. Clear objectives
3. Individual motivation
4. Time frame for accomplishment

The head of each organizational unit should consult with his superior to determine the unit's general objectives for the coming year. The first part of the meeting should be a listing of the ongoing tasks which must be accomplished during the year. The list should also include projects or tasks which are expected to be initiated in the coming year. All the items in the list are given priorities. The basis of the priorities should be in accord with how much the completion of each task would contribute to the organization as a whole. The purpose of this listing process is to discover all the important things which need to be done in the coming year. Other classification systems could be used - - and should be if that would lead to a more complete listing of the work ahead.

In any job, unforeseen new tasks arise and one cannot completely forecast what will happen a year ahead. But some managers think they

can only plan a day or two ahead, or maybe a week ahead. They have lost control and are only reacting not acting. In these cases, the sources of "fires" or unforeseen problems should be noted. More communication across organizational lines can end some of these problems. Other times, simply concentrating on the important tasks reduces the tendency to "get into the action" and put out fires which at the time appear as highly important but do not contribute to the long run objectives of the organization.

After a list of tasks is completed and priorities given for each task, examine the top 20% of the items. The most important jobs, the critical 20% will be concentrated on in this program. The remaining 80% are not forgotten, they are handled in the way the organization currently operates. By concentrating on the critical 20% of the tasks it is easy to introduce the concept of goals and controls.

The individual and his supervisor must agree that the critical 20% will receive: management support in terms of resources needed to accomplish the tasks; continuous monitoring of progress; the support of the superior in going to higher levels of management for aid in accomplishing these tasks. If this level of support is not available on each of the items, the priorities of the tasks should be re-evaluated. If the supervisor is not willing to support the critical 20% of the tasks the process should be referred to the supervisor's manager for further action. Without total management support, any new program cannot reach its full potential. The next step is to decide how to measure the evidence of goal accomplishment.

If the goal is to "reduce cost", the identity of costs and the various components of the costs must be obtained. The source of the cost data must be specified. Next, the desired level of cost reduction must be determined. Should the reduction in cost be absolute dollars, a percentage compared to last year, or just labor hours? Savings of 5% in one area might be a large improvement and require much time and effort. In another area 25% reduction might not be much of a task at all. There is no adequate substitute for managerial judgment concerning the proper level of the goals - but specific levels of accomplishment should be explicitly stated. In some areas precise quantitative measures of performance are difficult to state. Do not give up too easily. If the goal is "better reports," it could be stated as fewer than ten grammatical errors in reports during the next six months, or reduce the average number of rewrites on reports from the current level of five per report to three per report. Another area, where managers have some difficulty in setting performance standards, is the area of training. "Increase knowledge of the new accounting system" can be converted to "attend the three day CSC training program in new accounting systems." As you can see the goal was in terms of activity - going to school, rather than results - gaining knowledge. How could the goal have been rewritten? The following statement would be more results oriented: "Gain increased knowledge of the new accounting system by attending the CSC three day seminar and present an oral report explaining the new system to the three management interns."

Three aspects of the goals must be agreed upon between the individual and his superior.

1. What is to be done (The critical 20% of the tasks)
2. What evidence will be used to evaluate the successful completion of the goal
3. The appropriate level of goal accomplishment.

The clearer the goal or objective the more confidence the manager can place in the ability of his organization to meet that goal. As you gain more practice and experience in using goals and by talking with others in the organization using goals, you will become better at stating goals clearly. Also, some of the reading material referenced at the end of this manual might be helpful. One technique managers use in developing their goal setting abilities is to visualize what the result will look like when the goal is completed. Think of the skills the person will have after training and write some of the things he should be able to do. This is also good practice because, it lets your subordinates know the purpose of the training in terms of how it will be useful on the job. By describing what the completed project will "look like " you will give your organization a more tangible goal to attain. When it is finished you will have measurable achievement.

Individual motivation is the internal generation mechanism which leads to the accomplishment of important results. After people learn to participate effectively in setting goals, measuring results, and participating in meeting objectives - they tend to be more motivated. Managing by results is a motivational strategy since individual commitments and accomplishments lead to higher levels of satisfaction.

At this point, you should have a basic grasp of the concept of management by results. An effective results program includes: clearly stated goals, goals stated in terms of objectives to be completed within a specified time, agreed upon standards of goal achievement and total management of support of the goals.

III. NEED FOR A FORMALIZED SET OF GOALS

As you already know most managers are, or want to be, results oriented. It is also true that most organizations are not results oriented. One reason an organization needs to formalize its goals is because the opinions managers have about work priorities are not the same as their subordinates nor their superiors. A second reason for having explicitly stated goals is to have people at every level understand what the organization is all about. As organizations become more complex, fewer people in it understand the big picture. With this program it is easier for everyone to see how his job contributes to the whole effort.

Another reason why organizations have adopted formalized goal accomplishment programs is because without them managers at the same level often work against each other. Look across organizational lines, and you will see parts of the organization pulling against each other. In complex, large scale organizations, verbal understandings are either misunderstood, forgotten or altered by circumstances and are seldom formalized to provide a base for positive results. Programs like Personnel

Development and Evaluation have been successful at reducing uncertainty, increasing a "results attitude" and promoting more communication between and among levels of supervision.

IV. LOCATING IMPORTANT GOALS

In Section II of this manual it was suggested that a list of tasks be made. The items in the list should contain:

1. Those work tasks which are underway now and will continue into the coming year.
2. Tasks which are expected to be assigned in this organizational unit for completion in the coming year.

Some other items may be appropriate for any given organization. You should consider the forces which generate demands on the resources of the organization. These pressures are usually generated from the previously assigned tasks not yet completed or from tasks of a continuing nature. Other sources of demands are from outside the organization. These include customer, suppliers and sometimes headquarters.

When looking into each of the possible considerations mentioned as goals, a few ideas should be kept in mind. First, consider the status of the organization now. What are the facts? Where does it

stand? What was done last year? Questions like these will help you organize your thinking. The goals need to be reasonable -- neither so hard that it is impossible to complete the task nor so easy that the completion of the task is not a real accomplishment for the individual or the organization. By considering the current state of affairs, the goals will be more realistic.

Second, consider what the organization will be like through next year and longer. Will the work be the same, will the labor force be the same, will the location be changed, will customers want more output, will operations be more automated, and will today's skills be enough for the next few years? All of these questions and more should be asked by every manager, even if no hard facts can be obtained; judgments can be used to forecast the future.

Third, consider what can be done. You must act in anticipation of the future, not simply react to changes which have already come about. A careful examination of the potentials of the organization can be one of the most valuable parts of this program. The examination should lead the manager to a clearer understanding of what his organizational unit can accomplish. When examining the organization for potentials, remember to look for special situations that exist. These special situations may influence your planning. A

new computer installation or a new programming system, a major organization change, a consolidation of activities, new management policies, a technological change, or an executive order are all special situations which create potential for management action. Goals developed around potential actions can be particularly effective.

Now that you have your list, you must select the most important items on this list. A number of techniques are available from which to choose. Remember, critical items must be selected -- the really important things to be done this coming year. Experience has found that few of the tasks on a list of all the parts of a manager's job are really critical. In fact, a rule of thumb is that about 20 percent of the activities on a carefully constructed list of all the manager's duties are critical to his job performance. This program of Personnel Development and Evaluation is concerned with those critical few aspects of the job. The way to start identifying the critical tasks and goals is to rank the items in your list. Number one is the most important aspect. You can select the most important ones this way.

A completed Work Performance Folder is attached as Appendix III of this manual. As you read the remainder of the manual, it will be helpful to look over the example provided in the completed Folder.

Now you have an idea of the most important items in the list. Classify each goal as professional, managerial, or special project. Most goals can easily be placed in one of these categories. The categories are a convenient way to keep track of various aspects of a job.

Parts of the job that are continuing in nature should be put in the category of professional or technical responsibilities. Every manager has at least three or four continuing responsibilities of a technical or professional nature. As an example, a budget analyst might have a number of recurring tasks such as making accounting adjustments, computing average costs, or spotting incorrect procedures. Some analysts never spot a procedural mistake. By setting a goal of locating a given number of errors, the analyst knows what is expected of him and the manager can have a more effective unit.

The second category of goals is managerial goals. The goals in this category should be related to those aspects of the job related to planning, organizing, staffing, controlling, reporting, and developing subordinates. Other factors which relate to the managerial facet of the job might be interpersonal relations and race relations, evaluating subordinate performance and concern for command goals.

The third category is called specific job goals. Special projects should be put in this category. Objectives that are related to organizational development or command development should also be included in this section. Some of the most interesting parts of any job are related to these specific goals. These tasks and goals sometimes involve crossing over organizational lines or provides opportunities for people to work

in other organizations. Some can work with superiors on special assignments. These assignments have a completed product as a result. The product could be a report, a plan of action, or an installation of special equipment. Goals related to these facets of the job should be listed in this third section on specific job goals.

You now have some ideas how to locate the most important job goals and how to categorize the goals in the Work Performance Folder. The next section covers the goal setting process in detail.

V. GOAL SETTING

The goal setting process is a simple one. Each individual and his supervisor meet and agree on what goals are to be achieved in the coming year. This process necessarily begins at the top of the organization. By starting at the top, the most important objectives are identified first. Each manager down the line knows he is working to achieve a really important result. Starting at the top also demonstrates top management support.

In the previous four sections no distinction was made between your own goals and goals for your subordinate. The reason for this is that no distinction should exist between how the goals are generated.

Your supervisor has a set of goals that he and his superior have agreed upon. You should meet with your supervisor and he should brief you about his goals. This initial briefing can be between your supervisor and you alone or your supervisor may brief a group or all of his subordinates at one time. All of these methods are acceptable.

You may have started your list of critical goals before the initial briefing by your supervisor. If you did, you may want to reconsider the

priorities of your goals. Since your job is to help your organization meet its goals. After you have developed the goals for your job and written them on the "work sheets" provided in the Work Performance Folder, you should meet with your supervisor.

The purpose of this goal setting meeting is to decide what goals are to be set for the coming year. Since you and your supervisor have different perspectives, different vantage points and different ideas- do not be alarmed if you two see the job quite differently from one another. In fact, your discussions and the resolutions of these differences should be one valuable result of the program.

After discussing the goals from the supervisor's and subordinate's points of view, an agreement on one set of goals should be made. Usually the final set of goals is a combination of goals generated by each participant. These goals are then written in the Work Performance Folder. The two individuals usually write in their own folders at the same time and discuss the wording. Sometimes one of the parties writes and a copy is made for the other party. After a little experience each organizational unit develops a procedure which is most effective for its purpose.

Ways to Set Effective Goals

Some managers believe their subordinates know what is expected and what the manager is trying to achieve. This is often not the case. The truth is that directions and pursuits get lost in the bustle and shuffle of the day to day activities. Managers need to keep the goals, as well as the steps necessary to carry out the goals, clearly in mind.

Some of the following ideas will help you in formulating objectives.

1. Use action words when writing goals such as reduce, replace, complete by, achieve, report, attain, implement.
2. Clarify and define any terms which are not completely understood by both superior and subordinate.
3. Always write goals in terms of results - never activities.
4. Each goal should be a separate end result.
5. State goals as concisely as possible, the goals should be stated in positive terms.
6. Each goal should have a completion date or time schedule.
7. The evidence of goal accomplishment must be included in the goal statement.
8. Insure that resources are available to achieve the results.
9. Make sure your objectives will be achieved if your subordinates achieve their objectives.
10. Think of past work experiences so that the goals will be at a level where the individual is challenged but not discouraged by an unrealistic performance goal.

When formulating goals, plan frequent reviews of progress. The quarterly reports are a minimum. Assign priorities to foster a sense of the relative importance and value of the goals to your organization. If changes occur during the year, communicate these facts to the manager involved. When necessary make explicit changes in the Work Performance Folder.

A tendency of managers unaccustomed to results management is to use fuzzy words, words without any real meaning, when they specify goals. Examples of fuzzy goal words or phrases are: lower production cost, improve efficiency, streamline procedures, maintain good labor relations, cooperate with headquarters personnel, and develop a total systems awareness. These "fuzzies" are not bad, they do contain action words and they are positive. What is wrong is that the goals are unmeasurable. Because they are not measurable they are not clear, we do not know what evidence will be used to evaluate the goal and we cannot control the progress toward achieving the unmeasurable objective. The easiest way to begin to eliminate "fuzzies" is to quantify results - not every goal can be quantified but after a little practice you will find that most of your goals can be quantified.

When quantifying or measuring goals, form a mental picture of the situation as it will be when it is successfully completed. Then think of how you could prove that the goal was actually completed. Here are a few suggestions of things to look for: Amounts, volumes, time units (so many per day, etc.), ratios (good units completed/units rejected), averages, indexes, percentages, and deviations. Even these can be further subdivided to indicate a time phase for achievement such as: "Streamline the issue processing cycle by reducing in-process receipts by 15% over the next three months at the rate of 5% in each month of Quarter I". If the manager and the individual both understand the source of the data to determine the processing time, nothing need be added. A situation may occur when the proper data are not available and must be collected.

In this case, the first goal of the individual will be to organize the data collection. That goal might be: Develop a data collection method which will yield the average receipt processing time, in our department. This data collection should take no more than five man hours, and be accurate to one hour. The goal will be completed by Friday, June 1." It might be that all internal data collection projects are supervised by a management analysis division. In this case the goal could be stated as; "After Mr. Tomas receives approval of the goal, our division will develop a data collection method... . The goal will be completed within fourteen working days after receipt of approval."

Another example of a fuzzy is "improve morale". Converting it to a meaningful result goal could be:

.. "Reduce the monthly grievance rate from the current average of eight per month to five per month by the end of quarter 2." In this goal explicit notice of the current grievance rate of eight was stated and the desired level of five was specified in addition to the time of completion. Also the goal could have ended as - "by the end of quarter 2 and average five per month for the remainder of the year." This last goal is considered as a maintenance goal. Many technical aspects of jobs can be specified as maintenance goals, after the measurement of the results has been developed. Maintenance goals are appropriate in situations where the objective is of a continuing nature, agreed upon level of performance has been attained, and it is desired to maintain that level of performance.

Here are some examples of objectives:

1. Cut the number of man hours lost due to injuries from twenty to five per month by the end of quarter two and maintain that level throughout the year.
2. Construct an index which rates vendors on price, reliability, delivery and product quality before August 21.
3. Complete a flow chart of receipt processing in our division within two weeks after the reorganization.
4. Establish a once-a-day contact with all data processing personnel and hold monthly departmental meetings. The first meeting will be July 1, the contacts begin tomorrow.
5. Develop a plan to install a fan system in building 200. The installation cannot interfere with activities in the building and should require less than fifty man hours. The plan should be submitted to Mr. French by December 10, with work to begin by the first week of January.
6. Chair a committee of all Department heads to analyze the OCMM report. Each Department head will write a report covering this organization and Ad-Hoc groups will be formed to consider EEO, union activities and the closing of the Long Beach Center. The chairman will submit a final summary and the committee's recommendation to the Admiral via the XO by October 1.
7. Complete a college course in Business Mathematics by September with a grade of B or better.

8. Attend the CSC course in Personnel Management and present a one hour talk explaining the most important points covered in the course. The talk will be presented within one week after the classes are over.
9. Complete the Management Information System for all divisions by November (see project report for milestones and other specifics).
10. Establish liaison with new activity manager and arrange all details of his visit to our activity by the end of quarter three.

Goals should be challenging to the individual. Goals should be set so that they accomplish something important. If your goals do both, so much the better. Most people enjoy doing a job or a special project that is especially important. It gives them a chance to shine and contribute to the organization's success. Jobs which challenge a person's skills, abilities, knowledge, or creativity are satisfying too, even if not particularly important. These tasks allow one to grow as an individual. This growth is possible for all levels of management and for all age groups. If the goals are unattainable or if the individual believes that little possibility exists in achieving the goal, dissatisfaction and hopelessness quickly result. So, it is important to set realistic goals by considering past performance and the current situation.

VI. CONTROLLING PROGRESS

If you are to control and direct the progress of achieving your subordinates' goals, you need information. Section E of the Work Perfor-

formance Folder will help you monitor the work progress. Goals are expected to be completed on time - but this will not happen by just writing a date on the work folder. You, as an individual's supervisor, need to know when to give coaching, advice, or help with technical details. You need progress reports and the longer the time of the project the more information you need. As long as the task is on time or on target, you need not become involved with the details. When the task performance deviates from what was expected then action should be taken.

Section E can be used as a check off to determine when the goals are attained. You can note your forecast of where the work will be at various times throughout the year. Also you can use this section to note the actual progress which has been made at the reporting dates.

Controlling progress in the technical or professional areas generally involves scheduled reports on the critical few aspects of these tasks. A simple monthly report which contains the agreed upon performance measure for the month and the actual level of performance is usually adequate. When results are not the same as the performance standard the supervisor should be alerted so that any necessary action can be taken. This process can be extended to specific job goals too.

Specific job goals tend to be related to special projects, long term development work or critical organization tasks. Planned schedules for reporting are necessary. Because work in this section tends to be more unique, and more unusual, more managerial time is usually spent on these tasks. Measurement of specific progress at various times

needs to be forecasted. In addition short conferences should be conducted to discuss the progress on these efforts. This requirement can be specified as part of the goal. For example... "A bi-weekly conference will be held in addition to the monthly progress memos."

Controlling the progress of managerial development also requires information. It is more difficult to set prior performance measures in these areas and thus more difficult to control the progress of these managerial functions. In setting goals in communication, one can set the goal of establishing a newsletter, formal meetings, informal briefings or rap sessions. But if the individuals do not know what is expected of them, or how important policies affect them, communication is not taking place. One method of controlling and collecting information concerning managerial performance is to note critical incidents. Critical incidents are events which occur that you believe to be important as indicators of the managerial skills of your subordinate. As these incidents occur they should be written in Section E of the Work Performance Folder. The controlling process involves the recognition of patterns of recurring performance. After you have noted specific incidents, analyzed the facts surrounding these events, then you should discuss the matter with the individual. Particularly outstanding performance, handling a rough situation, or developing a marginal employee to a good worker should be discussed. Not only to complement and recognize the achievement but to learn how it was done. Others could benefit from this individual's abilities. Unfortunately some of the incidents will be concerned with lower than

expected managerial performance. When a manager performs below your expectations he should be told about it. The first thing to do is to tell the individual what the event was and how you interpreted the situation. The individual should be allowed to explain his side of the story. Sometimes this is all that needs to be done to clear up the matter. In other cases, it is only the beginning. A manager who is below average in human relations skills, loses his temper with customers and has been this way for ten years will not be changed by a half hour talk. This man should not be given up either. His performance in all other aspects might be good and he may be part of the organization for ten more years. It would be wrong not to attempt to help him. Cases like these may be the most challenging part of your job.

VII. FINAL REMARKS

The process of determining organizational objectives is a continuing one. As times change the objectives of the organization change, as do the objectives of the individuals. As members of this organization become accustomed to formalized goal setting and the other parts of this program, the job of managing becomes easier. Organizations using goal setting usually become more effective and the employees gain a more positive attitude toward the organization and its administration.

Results oriented management is not a panacea for all management problems. Simply filling out a form will not change a thing. Conscientious application of sound judgement and management skill through a goals and controls plan can magnify each manager's effectiveness.

PPENDIX I FREQUENTLY ASKED QUESTION ABOUT MBO

This appendix contains a list of frequent issues which arise when goals and controls are first implemented.

1. "Why should we write all this information on the Work Performance Folder?"

What at first appears as just paperwork must be tolerated. If the objectives are kept to the critical few necessary to challenge the individual and improve the organization, the paperwork will be minimized. A little experience with the program makes the work much easier. The "paperwork excuse", as it is called, is often presented by people who are content with the status quo - These people tend to resist all changes. Managers who are unfamiliar with setting mental results will have the most difficulty at first, but setting clear, measurable goals is not impossible.

2. "Setting objectives and all that, takes a lot of time away from my work".

Objective setting is not extra work. This is your job! In fact, if you are a supervisor this is the most important part of your job. Your job is to plan ahead and to communicate organizational objectives to subordinates! Effective managers make improvements, set deadlines and take personal interest in the development of their subordinates. The supervisor who neglects the above tasks, and only accomplishes the technical tasks of his job or only "puts out fires" is unsatisfactory.

3. "When I started to list the objectives for my job the list had over one hundred things for me to be doing - How can I fit these on the page?"

Remember, focus on results not activities. The list can be cut down by reducing the range of job responsibilities. One major benefit of this system is to concentrate on the few areas most important to the organization. Three or four goals in each section would be about right for the first year. With more experience they can be tailored to the job and individual.

4. "We have a lot of older people here who have been through these new programs before and now they are disillusioned. How can I get them to cooperate?"

You are up against two problems. The first one is a change in work attitudes over time and the second is a change in the times.

1. Some workers are so "turned off" about their job that no words would be effective. You must supervise by goals and controls, you must be an example, you must fully support the program and you should offer to help them in goal setting.

2. Many older workers do not think it is appropriate for a subordinate to participate in decisions with his superior.

An example is "If my boss does not know what I am supposed to do, who does? If I can tell him what is to be done, then I should be the boss, not him!" This is quite different from the younger worker who expects to be part of the decision making process. The younger worker, in contrast to many older workers, feels participation in decision making is

part of every job. The manager is likely to be pushing for more participation from some people and less from others to have a balanced program.

5. "I have a woman who is fifty-four years old in my Branch, how can we talk about personnel development for her?"

Some managers believe in the folklore that after forty a person cannot learn or change. This is not true. Talk over the goals of all people; some workers over fifty have more impressive development goals than workers in their twenties.

6. "I find it hard to write objectives."

Yes, it is hard at first. One good way to start is to develop the mental image of what you want when the job is completed. Then write what you see. Some organizations form teams to write typical objectives in various functional areas of the organization.

7. "I can set goals for a few weeks ahead, but a month in the future is just too far ahead for me."

Every manager should be able to plan for results, at least one year in advance. One useful approach is to contact the people who seem to be placing new requirements on your job. Attempt to have them schedule ahead. You should work with your supervisor to minimize any unplanned interruptions. Another method is to develop special projects which are of a long term nature. With these projects in process the manager cannot devote all of his time to reacting, he begins to act. One can develop goal setting ability on a short term

level first and then develop to a longer term planning by using any of these methods.

8. "The performance levels which have been set in our department are not appropriate."

Here are a number of problem areas and possible solutions:

- a. Goals which are too hard or too easy -

Use past data to validate the fairness of the performance. Evaluate the supervisor's performance on how well he sets performance levels. Also have departmental meetings where performance goals are discussed.

- b. Only lip service to program and thus no real commitment.

This is usually a symptom of lack of top management support or lack of communicating the top management support.

- c. Goals set to make boss look good but not including really important tasks, or not including subordinates' goals or objectives:

the goals as well as the performance appraisal should be examined by the supervisor's supervisor. Specific questions should be asked about the way the goals achieve organizational and personal objectives. At the time of performance appraisal any attached statements by people indicating unfairness or dissatisfaction should be carefully considered by the supervisor and his boss. Before goals are set again for the next year, these problems should be resolved.

9. "We seem to go after the goals even when situations change and we should have changed our objectives."

Stop implementing actions when unexpected events make the goal inappropriate. New goals should be selected from the original list, reorganize the existing priority of goals and communicate these changes up and down the line. It is also important to analyze what really occurred to change the situation. Could we have predicted this event? Why weren't we aware this change was coming? By answering questions like these, your forecasting abilities will increase.

APPENDIX II

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APPENDIX III

WORK PERFORMANCE FOLDER

PERSONNEL DEVELOPMENT AND EVALUATION WORK PERFORMANCE FOLDER

NAME George Tomas
ORGANIZATION Data Processing Dept.
POSITION TITLE Dept. Head

Fiscal Year 197 4
Grade/Rank GS-12
Age 41
Years of Federal Service 12
Years at Present Job 5

THIS WORK FOLDER IS A MANAGEMENT TOOL NOT A REPORT

OBJECTIVES OF THE PROGRAM

1. To promote two way communication between the individual and his supervisor.
2. To identify and integrate individual organizational objectives.
3. To support and promote individual organizational development.
4. To encourage results-oriented management.
5. To establish a results-oriented assessment of individual performance.

GOAL SETTING METHOD

1. Review the outline of the goals and controls procedures on the back of this folder and any special procedures established by your organization.
2. After the initial briefing, each manager should complete the first sections of A through C for his own job. After that he should do the same for each person who reports to him.
3. The manager should again meet with his supervisor and mutually agree on personal and job goals for the coming year.
4. Both the supervisor and subordinate will have a copy of the agreed upon work folder and it becomes a working document

FEEDBACK

1. During the next 12 months the supervisor will hold periodic review meetings. These will be held at least each 3 months and will review progress toward the objectives. He will provide assistance in reaching goals and making any changes in goals as necessary.
2. After 12 months, the remaining sections of the folder will be completed and discussed with the individual and a new sheet will be proposed for the next year.

How This Job Contributes To The Organization's Missions

| | |
|--|---|
| Instructions | A. Personal Development |
| 1. Note as accurately as possible the type of work this individual wants to do in the next 2 years. It is also desirable to include longer-run career desires. | 1. Career Aspirations <u>To be director of a major Data Processing Center.</u> |
| 2. Indicate this person's greatest strengths which can be used to achieve future career aspirations. | 2. Greatest Strengths <u>his ability to obtain cooperation from the people with whom he works with. He does thorough analysis of problems presented to him. He has outstanding knowledge of computers and presents good ideas to higher level management.</u> |
| 3. Indicate any specific managerial, professional or technical areas requiring training or further development. | 3. Areas Requiring Development or Training <u>His knowledge of civil service regulations and the procedures used in Code 10 should be developed. He has difficulty in understanding unstructured situations where clear cut solutions are not possible. Mr. Tomas does not fully understand our accounting methods.</u> |
| 4. After discussing 1, 2, & 3, the individual and his supervisor develop a plan to meet career aspirations through personal development. A few personal goals are mutually agreed upon and written in Section 4, the achievement of these goals should increase the individual's knowledge, ability, skill or potential. | <div data-bbox="291 1460 917 1930"> 4. Personal Development Goals For The Year <u>(1) Complete 3 credit course at City College in "Principles of Accounting" with a Grade of B or better, by end of FY74</u> <u>(2) Obtain information about procedures used in Code 10 by Sept 3.</u> <u>(3) Gain increased knowledge of civil service regulations by November 10.</u> <u>(4) Gain practice in handling unstructured problems by end of year.</u> </div> <div data-bbox="917 1460 1358 1930"> Evidence of Accomplishment <u>(1) Grades card submitted to Mr. Loeck (OK - Sept 7)</u> <u>(2) Written chart including a flow chart of personnel code in Code 10.</u> <u>(Not done 9/3, OK 9/7)</u> <u>(3) Attend Civil Service seminar and participate in the discussion of the most important points.</u> <u>(OK Aug 12)</u> <u>(4) Develop a better method to handle unstructured situations.</u> </div> |

PERSONNEL DEVELOPMENT

A. Instructions

1. In this section the major responsibilities which are professional or technical in nature are noted. These responsibilities are specific to this particular professional job.

2. Determine which professional or technical aspects of the job are the most important. You should do this by listing all such aspects of the job and then reduce the list to the critical few which are listed on this performance sheet. Generally, only about 20% of the critical aspects are of an actually of critical importance and these may take the major part of one's time. The critical few technical or professional parts of the job should have clearly stated objectives, achievement levels, an explicit statement of evidence of accomplishment and a date for goal accomplishment. The remaining tasks need not be entered on this sheet. But if performance on the critical few tasks becomes efficient and is affecting the individual's overall performance, then it is appropriate to enter the task in this section. Each item on the sheet will be reviewed at least quarterly.

B. Instructions

1. In this section the major managerial responsibilities of the individual are noted. These responsibilities are general managerial functions such as planning, controlling, staffing, organizing, directing, communicating, supervising, and developing subordinates. How well an individual accomplishes these parts of his job is more difficult to measure than the professional or technical aspects, but is of vital importance for a line job and some staff positions.

2. As the year progresses specific incidents occur which will be viewed as specific examples of desirable or undesirable managerial performance. Such critical incidents influence how the managerial goals have been accomplished and offer a beginning point for dialogue between the individual and his supervisor. You should note the critical incidents in this section. Be as precise as possible about what occurred and the circumstances surrounding the event. You may want to make notes on separate paper and discuss them at the next review session. Even if you have separate notes, indicate the nature of the critical incident in this section. Few individuals are equally strong or equally weak in performing all managerial responsibilities. Noting these strengths and weaknesses will allow you to recognize reoccurring patterns. These patterns can be a basis for overcoming weakness and building on strengths.

3. The development of subordinates is a primary managerial responsibility. Each manager should have the development of his subordinates as one of his specific managerial goals.

C. Instructions

1. In this section specific tasks, projects, assignments, duties, etc. which are part of this individual's job in the coming year are noted. Some of these efforts are for only a few months, some are intermediate in length (6 months) and some are a year or more in length. An effective manager has some tasks in each of these categories. As the short range objectives are satisfactorily completed, new short run objectives can be added but the whole work performance schedule must be considered. Through effort, most managers can plan and schedule so as not to be consistently solving some " unforeseen" problem.

2. When setting goals the supervisor can set them alone or involve the individual in goal setting. When feasible, mutual goal setting is recommended because when an individual participates in goal setting, he is more likely to take personal pride in completing the task.

3. Frequently differences of opinion exist between levels of supervision as to what should be worked on, the priority of various tasks, and what level of achievement and evidence of achievement is used to appraise performance. By specifying these in enough detail so that both the supervisor and the subordinate clearly understand, many misunderstandings may be avoided. Each goal should; a) be clearly stated, b) indicate what evidence will be used to determine if and to what extent the goal was achieved, and c) state when the goal is to be met. The manager should indicate the relative importance of the different goals.

Planning and Controlling Progress on Goal Accomplishment

| 1 QTR 1/27 | 2 QTR 3/20 | 3 QTR 5/16 | 4 QTR 6/15 | Overall Summary |
|---|---|---|---|--|
| <p>92% done within hrs. - 4 hrs less per 10 hrs. (expt target)</p> <p>1/2 tested and OK (Old target)</p> <p>Used 276 boxes (Same OK)</p> <p>10% of tires tested Behind schedule</p> <p>We are keeping up with vault tires. (OK)</p> | <p>(1) 95% done within 2 hrs - 1 job took 7 hrs (Special, outside)</p> <p>(2) 2/3 of all programs tested & OK (ahead of target hrs)</p> <p>(3) Used 306 boxes (OK)</p> <p>(4) 20% of tires tested this QTR. We have 70% to go (Behind schedule)</p> <p>Unsatisfactory - Need action 2/3</p> | <p>(1) 95% done within 2 hrs (OK) longer than</p> <p>(2) All Programs checked, tested and OK (OK)</p> <p>(3) Used 315 boxes this QTR, a little bit slow on path.</p> <p>(4) 60% of all tires tested (Behind schedule)</p> | <p>(1) 95% done within 2 hrs (OK) longer than</p> <p>(2) All Programs checked, tested and OK (OK)</p> <p>(3) Used 315 boxes this QTR, a little bit slow on path.</p> <p>(4) 60% of all tires tested (Behind schedule)</p> | <p>Goal not met due to mismanagement of the problem, satisfactory job given the circumstances.</p> |

Describe and Give Specific Examples of Managerial Performance

- George created a lot of trouble by "ordering" the supervisors to take the training. They filed a formal grievance on Aug 10 because computer operations are not in their P.O. More persuasion and explanation (the purpose of the training) and how the training will help their career development might have avoided the problem.
- George does not seem to be with the program. He is running around without any purpose - no planning or concentration on goals on a day-to-day basis. Today Sept 20, I asked him what he was doing in Code 30 space and he said he did not know but was "looking around for storage space". Had a long talk about goals with him.
- George returned from his vacation today (March 11) and he completed a write-up of the down time situation. The report is excellent and he did it on his own time. The report can be used to revise goals now and for next year.

| 1 QTR 1/27 | 2 QTR 3/20 | 3 QTR 5/16 | 4 QTR 6/15 | Overall Summary |
|--|--|--|--|---|
| <p>Labor hours up to 22, 24 (way off target)*</p> <p>(Down time/operating time) - 10 (good ahead of schedule)</p> <p>Nothing started yet! Better get going.</p> <p>altering FASTCAL</p> <p>complier (OK)</p> | <p>(1) labor hours down to 18 but way off target *</p> <p>(2) Down time/operating time = 1/50 (good ahead of schedule)</p> <p>(3) Cost data collected but far behind schedule. Need action 4/1</p> | <p>(1) Labor hours down to 15 but can't seem to make progress. Reset goal to 12 for last QTR!</p> <p>(2) 1/75 ratio (good)</p> <p>(3) Presented costs March 24 - behind schedule - but good quality job.</p> <p>(4) FASTCAL getting better</p> | <p>(1) Labor hours at 10, goal OK - but we did not fully understand the job.</p> <p>(2) 1/50 ratio - outstanding job.</p> <p>(3) Provided list on suggestions on July 5</p> <p>(4) Job completed and working well.</p> | <p>(1) Goal not met due to mismanagement of the problem, satisfactory job given the circumstances.</p> <p>(2) Outstanding performance.</p> <p>(3) Did not really want to do this job and put it off to the last moment.</p> |

Local and Extended Job Responsibilities

Review all data processing jobs are completed on schedule. Develop procedures and Present weekly reports and monthly summaries. No job may be more than 4 hours over-due and 90% of the jobs should be completed within 2 hours of scheduled time.

Test and certify all new Programs supplied by FMSO with sample data by March 1 and test each new program after March 1 within 3 days of receipt.

Maintain the current level of supply utilization, especially print-out paper. Last year we used 1,212 boxes of paper.

Maintain satisfactory operational level in tape library by testing all tapes once each year, updates of all vault tapes within 24 hours of office changes and monthly checks of master tapes.

Managerial Aspects of the Job

Train TAB room Supervisors in basic B-3500 procedures to help in computer room in emergencies. Training should be completed by November.

Direct reorganization of Data Collection Project in Codes 10 and 20. The Project should be completed by the first of May.

Improve communication between hardware vendors, both main frame and peripherals, and your department.

Job Goals

Reduce labor hours used on restart procedures from an average of 0 Per month to 10 Per month by the end of QTR 2 and to 7 per month by the end of QTR 3. This level of 7 Per month will be maintained through QTR 4.

Improve down time / operating time ratio. The current ratio is 1/20, the ratio will be 1/30 by Sept. 21, and 1/60 by end of the calendar year.

Develop an increased awareness of data processing labor cost. Present the current situation to management and recommend ways to reduce it by new procedures, changes in staff, and '78 goals objectives.

Year-End Performance Summary

Instructions

Describe this individual's performance over the year. Your write-up should be clear and precise, could be based on the goals set and what actually occurred throughout the year. Personal development, technical performance, managerial performance and specific job goals should be explicitly noted. After Year-End Performance Summary is completed the Performance Summary should be discussed with the individual. The main purpose is to communicate what needs to be done for the next year.

SUMMARY

1. Supervisor's Overall Evaluation of Work Performance

George is an outstanding technical manager as demonstrated by his work on FASTBAK, improving our down time ratio and increasing our production efficiency (goal #1 in B). In dealing with people he has some difficulty. The grievance matter on Aug 10, and the last report lead me to believe he could use training in the area of human relations.

George seems to be doing better at organizing and planning his work now. At first, he had a lot of trouble and it lead to problems with the tape library.

George and I both underestimated our paper usage. We will talk to analysis group to get better estimates for next year. We both understand the special problems in the restart area now.

George accomplished all his personal goals satisfactorily and on time. Overall Mr. Tomas did an above average job this past year and has increased his performance greatly this last year.

Considering this individual's career aspirations your appraisal of his work performance make a recommendation for future jobs or a career path.

2. Career Path Plan and Recommendations - Considering Mr. Tomas' plans and his current job he must increase his knowledge and skill in the area of human behavior. He has technical skills and drive to become a higher level manager. More management education in the area of personnel and executive to other disciplines is suggested.

3. Indicate which of the five statements best describe this individual's overall job performance in job related goals and personal development goals.

3. How Well the Individual Accomplished The Goals

| | | Job | Personal |
|----------------|---|--------------------------------------|----------|
| Outstanding | { | Far Exceeded All The Goals | |
| | | Exceeded Most of The Goals | X |
| Satisfactory | { | Meets Normal Requirements and Goals | |
| | | Meets Minimal Requirements and Goals | X |
| Unsatisfactory | { | Did Not Meet Requirements or Goals | |

4. Signatures

Date

Individual Appraised George Tomas 6/26
 Appraiser/Supervisor L. L. Loe 6/26
 Appraiser's Superior Tom O'Neill 6/27

If the individual appraised, his supervisor or the appraiser's superior wishes to comment on the appraisal, attach the written statement to the completed Work Performance folder.

☐ See Attached Statement

OUTLINE OF THE PROCESS OF PERSONNEL EVALUATION AND DEVELOPMENT

Goals and Controls Concept

The idea of management by goals and controls is not new, it is used by many of the largest organizations in government and private enterprise. The objective of this method is to direct the work effort of the individual to accomplish results which will produce what management desires while including the goals and desires of the individual. This method can be effectively used to promote a "results-oriented" organization. This folder is a live-management tool and should be used regularly.

Goal Establishing Procedures

Most effective managers have results or goals in mind when they perform their duties. It has been found that explicitly writing down goals and talking them over with your subordinates will improve your effectiveness as a manager and will give your subordinates a clearer understanding of what is expected of them. The paper work detail, which at first seems excessive soon becomes routine and contributes to your managerial effectiveness.

You will prepare preliminary work sheets (which resemble sections A through D of this folder) for your job and preliminary sheets for each of your subordinates. After meeting with your superior and agreeing on your goals, the Work Performance folder is completed. Usually the superior and subordinate each have copies of the agreed upon goals. This process cascades down the organization to the first level of management.

Setting Your Own Goals

The first step in the program is an initial briefing with your supervisor. He will discuss the goals he has worked out with his supervisor. Goals have been set above your level of management and your work must produce results which allow your supervisor to meet his objectives. After your initial briefing, complete the biographic sections on top of the first page and part A of this folder. A group appraisal of your work (No. 2, 3, & 4) can be of assistance here. After completing A, go to B, C & D and write down the critical achievement levels, and have specific times for completion. It is especially important that goals identify results to be achieved rather than activities which accomplish results. A manual that discusses goal setting is available.

The second step is a goal setting meeting with your supervisor. You will discuss your personal goals, the goals of the job as you see them and how he sees them. In addition, you will discuss the ways to make all the goals fit together. Do not be surprised if on the first meeting you two do not see eye to eye. Your supervisor may have changed his goals and may want you to reconsider certain of your own goals. It is best to focus on the future as soon as possible — the past cannot be changed. After you have worked out your goals for the next year, think of how your subordinates can direct their efforts at achieving your objectives. Of course, this was part of your thinking when you worked out your own goals because your job as manager is to direct your subordinates in accomplishing the objectives of your organization.

Establishment of Goals With/For Subordinates

The third step is to integrate your goals and those of your subordinates. First indicate how your subordinate contributes to the organization's goals. Remember this is not a job description of activities, but a description of general results which cause your organization to meet its goals. The manual may help here too. Complete section No.'s 2, 3, & 4 of A. Write sections B, C, & D. You should be as clear as possible, have a measurable achievement level, a time for completion, and the goals should be result-oriented. As soon as you have written down these goals, meet with the individual, he will have written down goals as he sees them too. Again do not be surprised if you have to work out what is to be done, what evidence will be used to evaluate the results, and what is the proper time for completion of the goal. It is best to have an open mind toward the views of your subordinates — this is not permissiveness. Just as you know aspects of your job better than your superior, your subordinates have much to contribute to goal setting for their jobs. After working out goals with your subordinates, it is a good practice to discuss them with your superior to insure that efforts are directed to the appropriate result areas.

The fourth step is to monitor the progress toward the goals. This is the part of management to which you are most accustomed. Quarterly reviews are the minimum. Give coaching and guidance frequently. As conditions change, re-evaluate the goals as necessary. This sheet should be referred to often. In section E, the manager notes the progress toward the goal. When incidents occur which indicate relatively high or low managerial performance, they should be written in this section. These can be used as examples in guiding and coaching your subordinates in improving their managerial capabilities.

The final step is to appraise the individual on what has been accomplished and set goals for the next year. Remember, this is a working method of management, not a report to management.

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